ELECTRONIC FILING PROJECT

PHASE V



DOCUMENTATION and INSTRUCTIONS

For Attorneys and Trustees

Version 3.6

August 2, 2004

TABLE OF CONTENTS

		Page
I.	Introductiona. Backgroundb. Documents you may filec. Benefits of e-Filing	3
II.	Electronic filing hardware and software requirements	4
III.	 Registration for Electronic Filing a. Creating the PDF document b. Accessing the e-Filing System c. Workflow Explanations 	4
IV.	Document Creation and Formatting	5
V.	Creating the PDF Document a. Creating PDF documents by formatting text documents from a word processing document b. Creating PDF documents from a scanning system c. Adding PDF documents to a Zip file for batch processing	6 6 12 12
VI.	Creating the Master Address List	14
VII.	TI. Accessing the e-Filing System and Document Submission a. Single document submission b. Batch document submission	
VIII	. Post Document Submission	27
IX.	Exhibits a. Hardware/Software requirements b. Attorney/Staff Registration Form c. Documents Excepted from e-Filing d. Document types and subtypes e. Email messages f. Batch Upload Instructions g. Batch e-Filing Quick Reference	

I. Introduction

a. Background:

Over the last several years the desire of the court has been to streamline the filing process for attorneys and trustees by reducing paperwork, lowering costs, and reducing the personal appearances attorneys, trustees, and their staffs are required to make at the court. Early attempts at electronic filing (e-Filing) have been made including the use of email and the submission of data only. These approaches proved unsatisfactory largely because the absence of a visual representation created unacceptable quality control problems and additional work for court staff.

This current approach to e-Filing requires submission of a Portable Document Format (PDF) image via the Internet. It is a comprehensive document submission and management system to effectively manage and process submitted documents.

b. Eligible Documents:

- All documents in all chapters and related proceedings are eligible for electronic filing with the following exceptions:
 - o Documents to be filed under seal
 - o Documents filed by parties without legal representation

These documents shall be filed conventionally until further notice.

c. Benefits of e-Filing:

- *Convenience*. You can file 24 hours a day, 7 days a week, 365 days a year from anywhere that you can connect to the internet.
- *Security*. Transactions are encrypted and transmitted over secure lines to ensure confidentiality
- *Manageability*. Full history and reporting of submissions available at a click of a button
- *Ease of use*. Case number, document type, and the electronic document is all that is required to e-File.

- Reduction in paperwork. Filing party no longer has to print the document for filing and the Court no longer has to scan the document filed.
- *Cost reductions*. Reduces the need for postage, paper copies and messenger/courier services.
- *Proof of filing*. A confirmation is issued when document submitted is received and accepted.

II. Electronic filing hardware and software requirements

To file cases and documents electronically, a user must have certain computer hardware and software, as well as access to the Internet. In most instances, you likely have all the hardware and software you will need in order to participate in the e-Filing program with the one exception of the PDF file creator. More about that later

To be certain as to what you need, required minimum and optimum specifications for electronic filing are provided in **Exhibit 1**. Required minimum specifications should be used to predict whether or not your existing hardware will perform adequately. Recommended optimum specifications should be used as a guide for those purchasing new equipment and services.

Required minimum and optimum specifications are subject to change and it is likely that faster, greater capacity equipment will be needed in the future. Therefore, users are encouraged to purchase the fastest computers and connections they can within budget constraints, even beyond what is recommended. Updated system specifications will be posted on the court's Internet web site at www.caeb.uscourts.gov.

III. Registration for Electronic Filing

Before you can access and use the court's e-Filing Web application, you must submit a completed registration form to the court and obtain a court issued user name and password. The registration form is located in **Exhibit 2.**

The registration form is also available on the court's website. Approved users will be assigned a username and password to access the e-Filing system. Users will be notified of assigned user name and password by phone or e-mail.

Also on the court's website is the Authorization for Payment of Fees by Credit Card form. This form must be filled out before you can submit fee based transactions to the court.

IV. Document Creation and Formatting

Documents may be created using any word processing application, however all documents must be converted to Portable Document Format (PDF) prior to filing electronically with the court. If you attempt to upload a non-pdf file an error message will display.

Documents shall be prepared in compliance with Local Bankruptcy Rule 9004-1(a), as well as the court's Revised Guidelines for the Preparation of Documents, Form EDC 2-901.

Every signature line will have to indicate a signature. Options under consideration include typing "/s/" followed by the name of the person signing the document, scanning the signature page, and inserting an image of the signature in the document. Additionally, retention of executed originals of all pleading and other documents signed under oath will be required. Additional information concerning signatures and retention of original executed documents will be provided in the administrative procedures issued by the court.

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2.3
   Dated: August 18, 2003
                                        Respectfully Submitted,
                                            Office of John H. Smith
25
                                        By: /s/John H. Smith
26
                                        Attorney for Debtor
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PROOFREAD THE DOCUMENT BEFORE AND AFTER YOU CONVERT IT TO PDF. Make sure all blanks in the documents for dates, times, amounts, etc. are filled in, especially if the document was created using a form. For verified pleadings that are not scanned, type in the information applied to the executed document, such as a date and a notary's stamp

When creating documents in a word processing application, you may wish to consider the creation of a folder for each case in which to save the documents, as well as the messages you will receive back from the court. To easily track

documents that are not part of a batch upload, you may also wish to consider development of some type of file naming convention. For example, you may want to use the case number and abbreviations for the type of document being filed. (i.e. 322345rs is the equivalent of case number 03- 22345 Motion for Relief from Stay). For documents that are a part of a batch upload, there is a strict file naming convention for each type of document accepted by the court. Please refer to **Exhibit 6** for instructions on naming batched PDF files, or **Exhibit 7** for a quick reference guide to the batch e-Filing naming conventions.

V. Creating the PDF document

The simplicity of e-Filing will easily change the way many attorneys and trustees will do business with the court. Being able to file from anywhere there is an Internet connection, 24 hours a day irrespective of weekends or holidays, makes e-Filing a very compelling alternative to conventional document filing. The process begins with the creation of the PDF document.

Remember that the court accepts electronic documents in only one format, PDF. All documents must be converted to PDF before being submitted to the court. The reason for requiring files to be converted to PDF is that PDF is a true visual representation of an original document. It retains original document pagination, formatting, colors, and fonts. PDF is the perfect choice for document submission and is the mandatory file format for electronic filing.

There are two primary methods for creating PDF documents: by formatting text documents into PDF at the time of creation OR by scanning imaged documents from paper into PDF.

a. Creating PDF documents by formatting text documents from a word processing package

The optimal method for creating a PDF document for filing in CM/ECF is a simple method: create it directly from a word processing application using Adobe Acrobat's PDFWriter. PDF files created in this way have the advantage of a much smaller file size than documents that have been scanned. This is the preferred method for creating a PDF file from a word processing application.

Conversion of most word processing documents to PDF format is relatively simple depending on the word processing program being used. As a general rule, it is no more difficult than sending your document to a printer to be printed or scanning a document not in word processing format.

While we recommend that you purchase a copy of Adobe PDFWriter/Acrobat Distiller for creating PDF files, we do recognize that the newer versions of WordPerfect have built-in PDF generation capabilities. Our lab tests have proven

however, that PDF files created with the WordPerfect PDF generator do not consistently produce a true representation of the original document*.

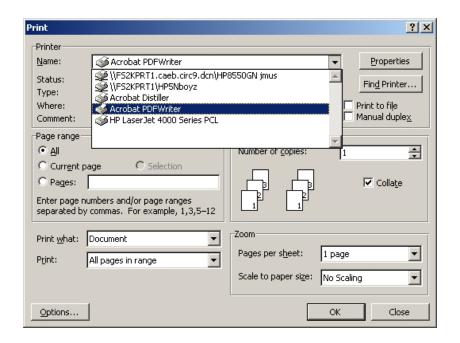
Of the two packages Adobe offers, PDFWriter is the better choice mainly because the size of the file created by PDFWriter is smaller. Consider the following: We created a 12 page MSWord document consisting only of text and converted the file to PDF using both PDFWriter and Distiller. The file size for the PDFWriter file was 40 KB and the file size for the Distiller created file was 157 KB. While the amount of time needed to create the PDF file was not significant for such a small file, please remember that as more pages are added and especially as images are embedded in the file, the size of the file and the amount of time required to create and send the file to the court increases dramatically.

While PDF files are required for submission, TIFF is another format developed to create electronic images of paper documents. It continues to be widely used in the industry for electronic document production by scanning paper. As long as the court document processing workload continues to involve scanning a significant amount of paper documents, TIFF will continue to be the Court's official <u>internal</u> image format. All PDF documents submitted will be converted to TIFF for storage and retrieval. The PDF format was chosen for its ease of generation and compatibility with most existing word processors.

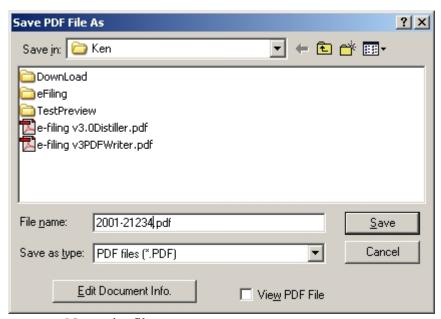
For WordPerfect version 9 and 11 WITH Adobe software installed

- Open the document to be converted.
- Select the **PRINT** option and in the dialog box select the option to change the selected printer. A drop down menu with a list of printer choices is displayed.
- Select Acrobat PDFWriter or Acrobat Distaller.

^{*}Note: Documents created in WordPerfect 9 using symbol fonts and converted to PDF format using Acrobat Distiller will be corrupted when transmitted to the court.



• Click "OK". The file will not actually print; instead the option to save the file as a PDF format file appears.



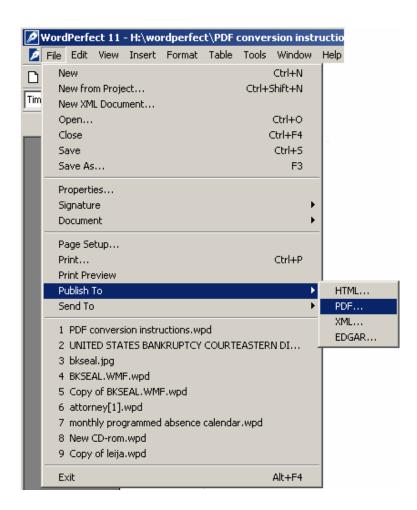
- Name the file.
- Click "Save" to convert your word processing document to a PDF document.
- Note that your original word processing document still exists.

For WordPerfect version 9 and 11 WITHOUT Adobe software installed

NOTE:

Content corruption seems to be a frequent occurrence when using this method. We do not recommend this method. However, if this method has to be used, more extensive quality control measures must be practiced by your firm.

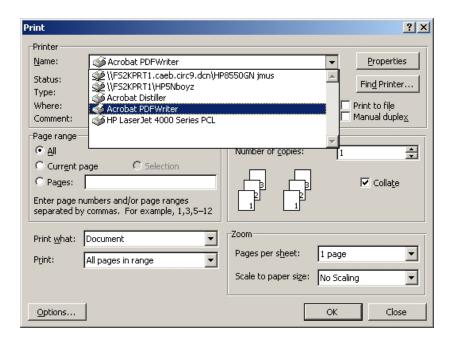
- Open the document.
- Click on the **File** menu and select, **Publish to PDF**.



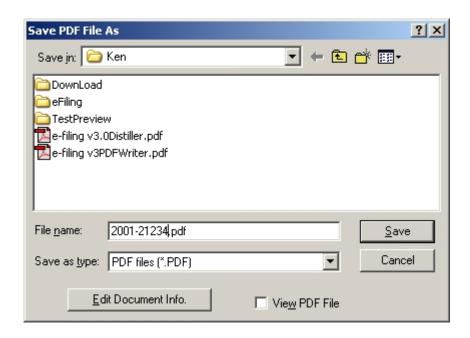
- Save the file as a PDF file, giving it a .PDF extension.
- The file is now in Adobe PDF format under the newly designated name, and the original document remains in its original form under the original name.

For Microsoft Word WITH Adobe software installed

- Open the document to be converted.
- Select the **PRINT** option and in the dialog box select the option to change the selected printer. A drop down menu with a list of printer choices is displayed.
- Select Acrobat PDFWriter or Acrobat Distiller.



• Click "OK". The file will not actually print; instead the option to save the file as a PDF format file appears.



- Name the file. Remember that if your PDF document is intended to be part of a batch upload, there is a strict naming convention.
- Click "Save" to convert your word processing document to a PDF document.
- Note that your original word processing document still exists.

With the creation of your PDF file behind you, you are now ready to logon and submit you filing to the court.

b. Creating PDF documents from a scanning system

For those documents that must be imaged because a word-processed version does not exist, the preferred method is to scan the document directly into PDF format using Adobe Acrobat (from the File menu, choose Import/Scan). Scanning to a format other than PDF (e.g., TIFF) would add both delay and labor, requiring not only the scan but then a conversion to PDF.

There are several factors to consider when determining how the scanning will be done. The quality of the document when scanned is determined by the level of detail recorded by the scanner. This detail is referred to as the resolution, which is measured by the dots per inch (dpi). A higher resolution is slower to scan (this is dependent also on the scanner and the number of pages that are scanned) and creates a document with a larger file size. This, in turn, will cause retrieval of the document to be slower. Documents scanned for electronic filing in the U.S. Bankruptcy Court for the Eastern District of California should be scanned at 300 dpi.

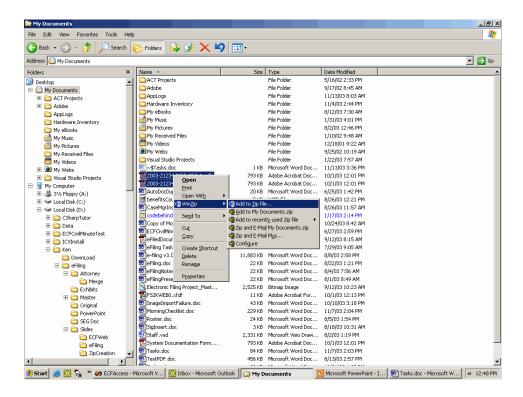
Another factor to consider is the mode of scanning. Almost always, it should be done in black and white, so that the file size will be as small as possible. However, there are some documents (those with shaded boxes, for example) that may need grayscale instead; this, however, will produce a file that is much larger in size than the document scanned in black and white. Never scan in color unless absolutely necessary (perhaps for exhibits originally produced in color). This, too, will produce a document with an extremely large file size, which will take longer to retrieve for viewing purposes.

c. Adding PDF documents to a Zip file for batch processing.

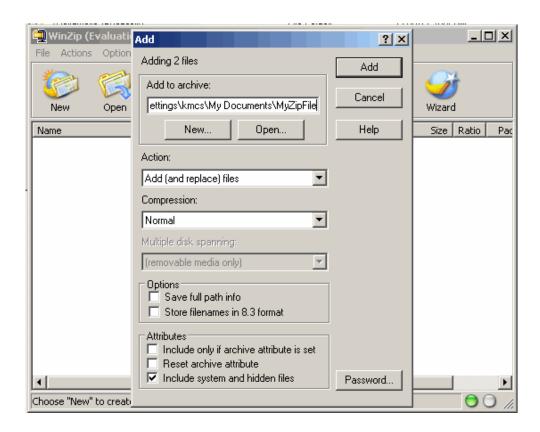
There may be many times when it is more convenient to submit multiple files to the court in a single batch upload. To do this, multiple PDF files must be bundled together into a single archive file called a Zip file. These PDF files must be named according to the naming conventions outlined in **Exhibit 6.** Any departure from the naming conventions/rules will cause rejection of the submitted files.

After saving and naming your PDF files, complete the following steps to create a Zip file using WinZip software.

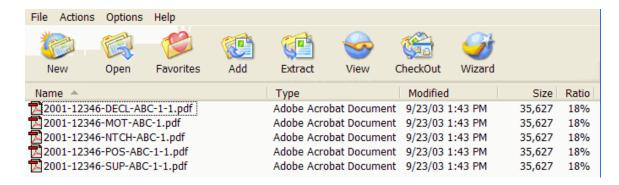
- Highlight all of the files containing PDF documents you wish to include in the batch.
- Right click and select the "WinZip" option on the expanded menu selection, and then the "Add to Zip File" option.



• Click the "New" button and browse to the directory where you would like your Zip file created. Enter a name for the Zip file in the "File Name" text. Note: There is no Zip file naming convention to follow.



• Then Click the "Add Button".



• You should now see a list of all your PDF files in the WinZip interface's window. You will also note that a Zip file has been created in the directory and with the name you indicated. This file is the file you will upload to the court as a batch submission. The Zip file name has no naming convention to follow. It is only a container for your PDF files.

VI. Creating the Master Address List

Electronically filed master address lists shall contain a list of creditor names and addresses, prepared in strict compliance with the *Name and Address Standards* set forth in form EDC 2-190, *Revised Guidelines for the Preparation of Master Address Lists*, and saved in a "pure text" format (not delimited), such as MS-DOS text or ASCII (DOS) text, with a .txt filename extension. Electronically filed master address lists saved in word processing format, a delimited text format, or a generic word processor text format or without a .txt filename extension will not be uploaded.

VII. Accessing the e-Filing System and Document Submission

With your computer turned on, execute your web browser. This is usually accomplished by pressing an icon on your computer's desktop. Once the browser is running, enter the courts home web address in the box entitled 'Address'. This box is near the top of your opening web page. The courts Internet address is www.caeb.uscourts.gov. You will see the web page below which is the starting point for e-Filing.

United States Bankruptcy Court Eastern District of California



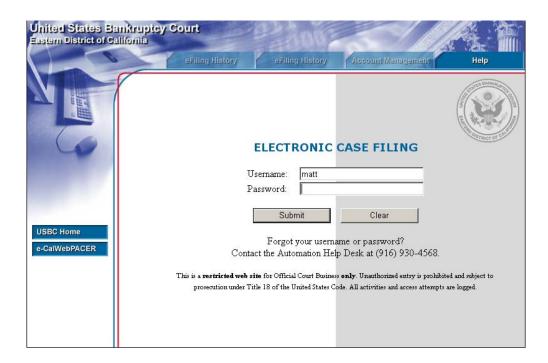


From the court's Internet home page, press the Filing Electronic Case Records e-CalWebFiling button located on the right hand side of the page.

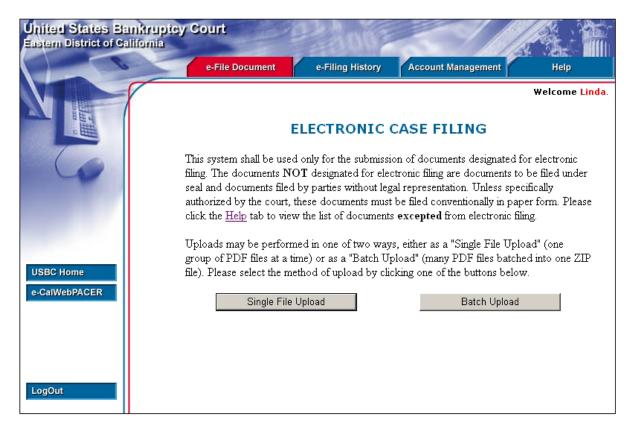


You may also navigate to the eFiling web page by pressing the yellow "Electronic Filing Now Available! Click Here!" button and choosing the appropriate link. There are additional links on this page as well as frequently asked questions that you may find useful.

Electronic and Batch Filing Now Available! Click Here! e-Filing of Documents That Require a Fee Begins 8/2/04!

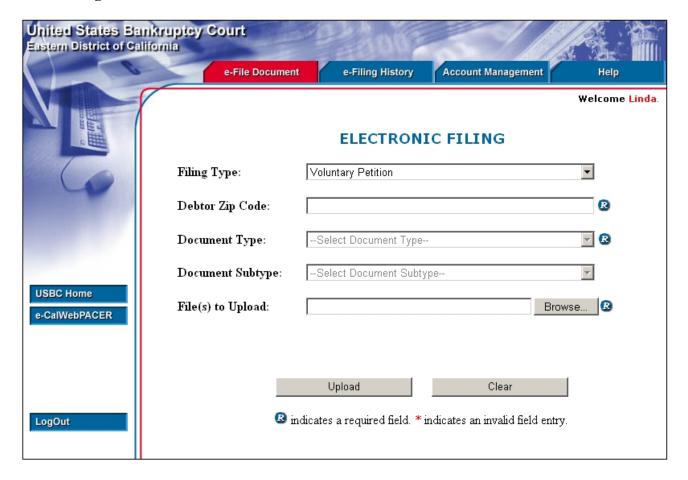


Enter the Username and Password received from the court. If you do not have a username or your password fails to log you in, please call our Help Desk. A successful login will display the screen below.



To upload documents one at a time, press the Single Upload button and follow the instructions in section (a) below. To upload batched documents, press the "Batch Upload" button and follow the instructions in section (b).

a. Single document submission



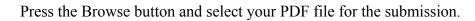
Before entering data, verify that the document you wish to file is eligible for e-Filing. A list of the documents currently excepted from e-Filing is located in **Exhibit 3**. You may also view the list by clicking the Help tab on the data entry screen.

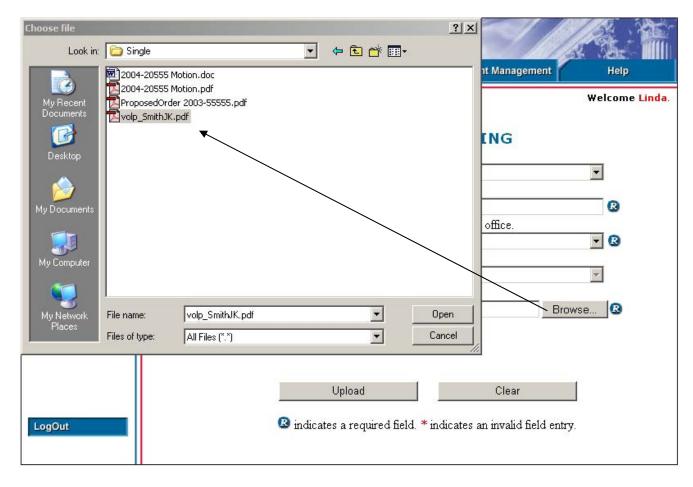
Once you have verified that the document you wish to file is eligible for e-Filing, enter the required information according to the indicated format.

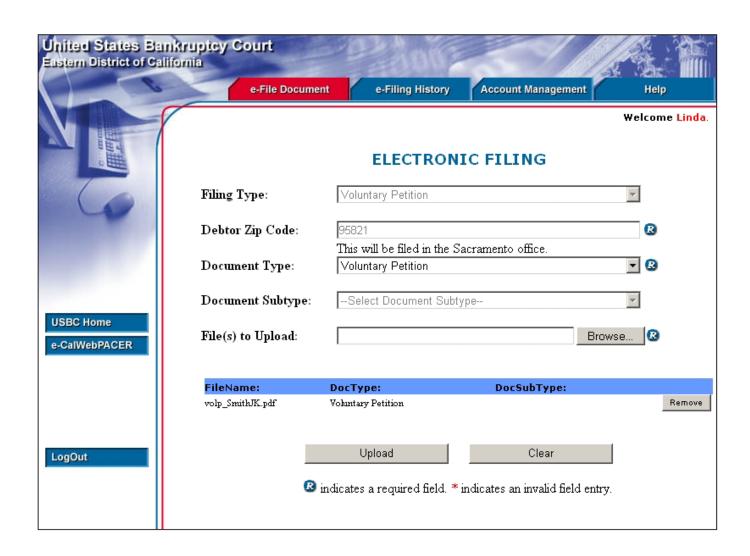
Select a document type and document subtype, if required, from the drop down boxes. A list of available document types and document subtypes is located in **Exhibit 4.**



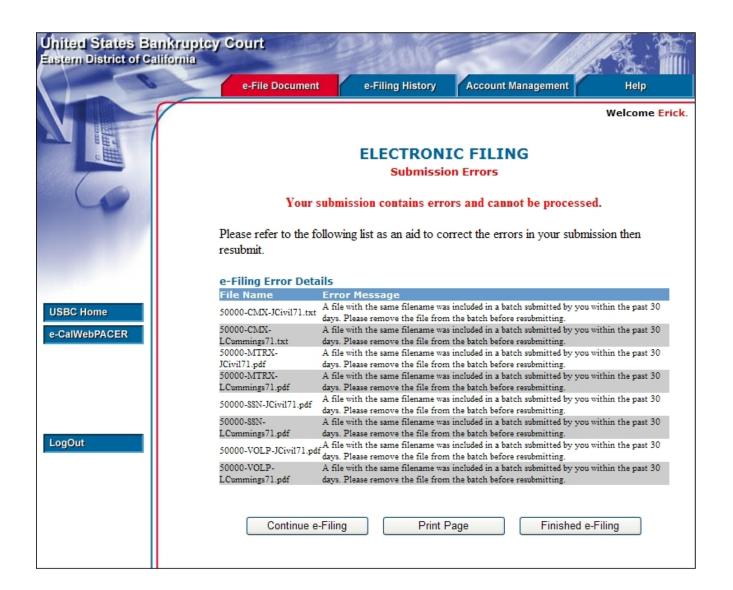
Note: Document Type/Subtypes are used by the system to prioritize and identify e-File documents. They are not used for docketing purposes.



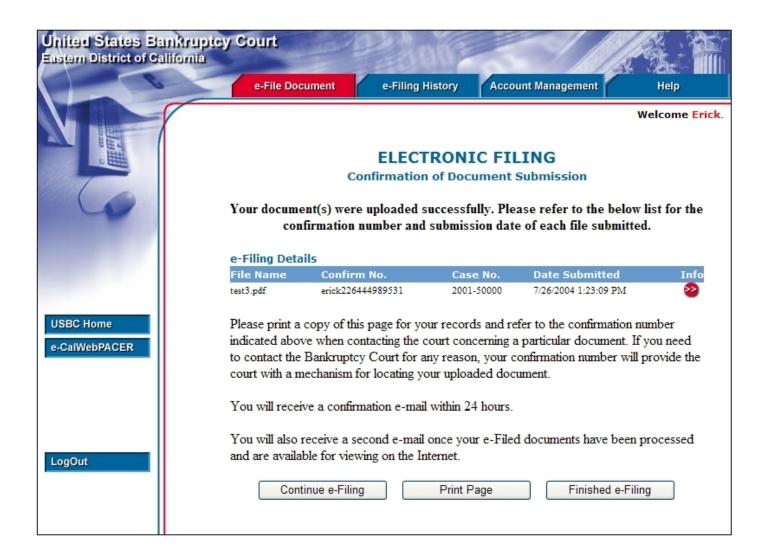




If you failed to enter the data correctly, a submission error will occur and you will be prompted to enter the data correctly. The submission error message is shown below.



After all the required fields have been filled in, press the Submit button to send your data to the Court. Please note that once the Submit button has been pressed, you cannot undo the submission. Should you realize that a mistake was made, contact the case manager assigned to your case. You have now completed the e-File process. A message confirming that the court received your document will appear on the screen.



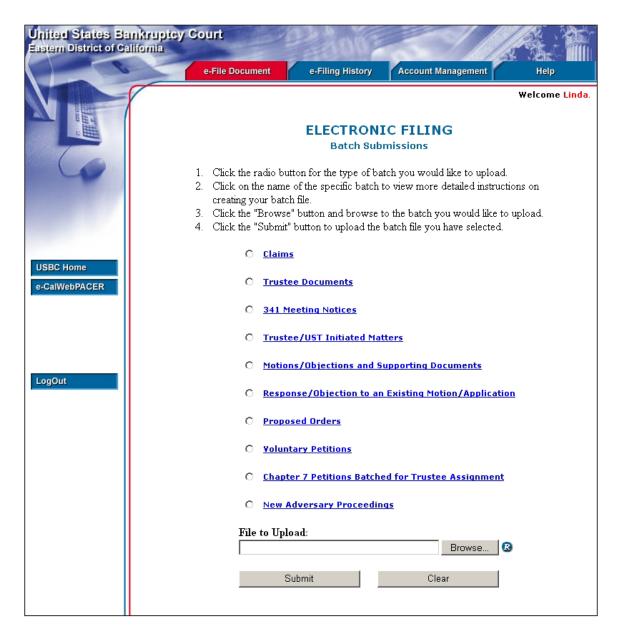
Press the Print Page button to print a copy of the message and confirmation number for your records. Should there be a problem later on regarding your filing, you may be asked for this confirmation number to aid the court in investigating questions you might have.

b. Batch document submission



Many PDF files may be batched into one Zip file and uploaded by pressing the "Batch Upload" button located on the Electronic Case Filing screen. Note: You can access this screen at any time during the submission process by pressing the e-File Document tab.

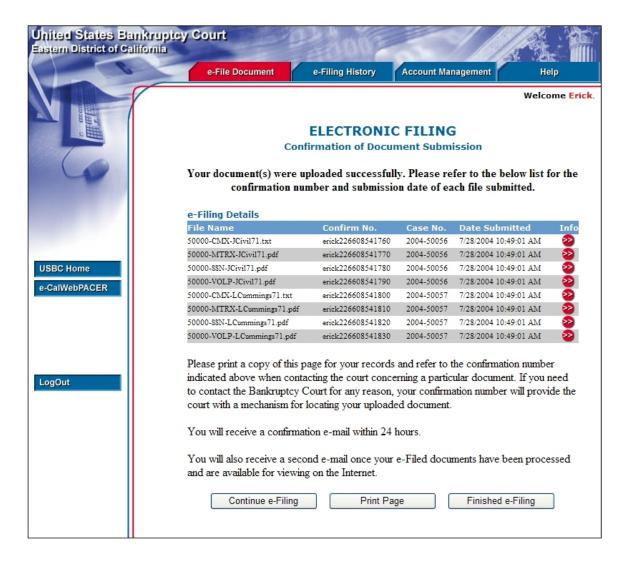
The Batch Submission screen will appear.



Click the radio button to the left of the type of batch you wish to upload. For PDF file naming conventions and instructions on how to create a Zip file, click on the name of the batch type or on the Help tab located near the top of the page.

After selecting a batch type, press the browse button and search for the Zip file to upload. Then, press the Submit button to upload your batch. Please note that once the Submit button has been pressed, you cannot undo the submission. Should you realize that a mistake was made, contact the case manager assigned to your case.

You have now completed the batch upload process. A message confirming that the court received your document will appear on the screen.



Specifics regarding each of the documents contained in your batch submission may be viewed by pressing the red Info buttons to the right of the confirmation number. You should print a copy of this page for your records.

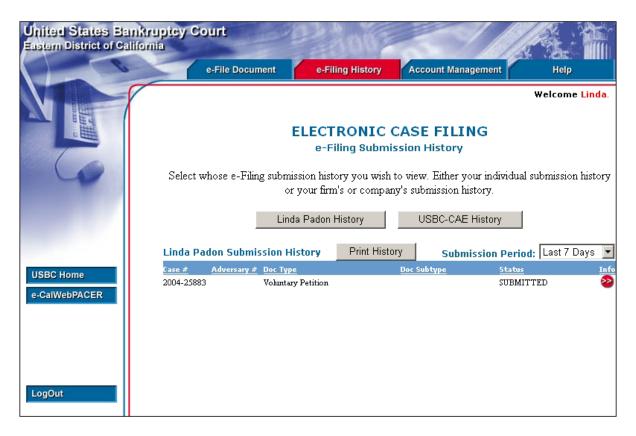
After printing this page, you may submit additional documents for filing, check the status or history of electronically filed documents, or exit the program. You may do this anytime day or night, for documents submitted by you, or, if a member of a firm, for any documents submitted by a member of the firm.

To check the filing status or history of any submission, click the e-Filing History tab. The e-Filing history will appear on the screen. If you are a member of a firm you may check the filing status or submission history for the entire firm or for yourself individually. If you are not a member of a firm, you will only be allowed to check the history for yourself. You will also be allowed to limit the number of submissions that appear on screen by selecting a range of days for viewing. Information concerning your submissions will appear in case order and the status of each will be shown in the far right column. Possible statuses are

SUBMITTED, PROCESSING, DOCKETED, SUCCESSFUL, and DELETED. Please see the table below for explanations of the document processing workflow.

Status Workflow Explanations

SUBMITTED	You have pressed the Submit button and your submission has been received by the court and is waiting processing.
PROCESSING	The process of electronically file stamping and moving your submission into our image system has begun. An e-mail containing the confirmation number, the filed date, and a summary of the submission details will be sent to the filer. See Exhibit 5.
DOCKETED	The docketing of your submission is complete.
SUCCESSFUL	Your submission is complete and available on the internet. An email will be sent to the filer and to designated parties. See section VII, Exhibit 5 .
DELETED	The submission has been deleted by the case manager.



If you have completed all e-Filing submissions for the current session, press the "Finished e-Filing" button to exit the application.

VIII. Post Document Submission

Documents submitted electronically will be processed at specified intervals throughout the work day. During processing, a filed stamp will be affixed to the imaged document.

FILED

July 21, 2003

CLERK, U.S. BANKRUPTCY COURT

EASTERN DISTRICT OF CALIFORNIA

0000123134

When processing is complete and the imaged document is available on WebPACER, the filer and any other registered users of the electronic filing system who have appeared in the case will be sent a Notice of Electronic Filing e-mail message containing document submission and docketing information, as well as hyperlinks the document. One of the hyperlinks bypasses the WebPACER billing system and provides "one free look" at the document in either Tiff or PDF format. The "free look" hyperlink may be used only once and will expire after 30 days if not used. The second link provides access to the document through the WebPACER billing system. Although the second link will not expire and may be used more than once, you will be charged \$.07 per page to access a document using it.

For a Proposed Order, you will receive the Notice of Electronic Filing after it has been signed by the Judge.

You will not receive a Notice of Electronic Filing for a Statement of Social Security because they are "submitted" rather than "filed" and are not part of the case file available to the parties, bar and the public.

Some Internet browser or e-mail settings may insert the web site addresses (URL) for the Tiff and PDF "free look" documents in the text of the Notice of Electronic Filing. If you receive an error message such as "The page cannot be displayed" or "...must supply docno or claimno" when you click a URL (instead of the Tiff or PDF hyperlink) in the Notice of Electronic Filing message text, highlight the entire URL (it may span two or more lines), copy it, paste it on the Internet address line near the top of your browser screen, and press return on the keyboard. This should link you to the document. If the URL in text is only partially displayed as an active link (some of the text is on a second line, is not underlined and is a different color than underlined text), you may also be able to access the document by integrating the second line of the URL with the first by removing the line break or carriage return at the end of the first line. When this is properly done, the entire text of the URL will be the same color, underlined and when clicked, will link you to the document.

Electronic filers will also receive notice of deficient e-Filed documents. Continued failure to properly prepare e-Filed documents may result in suspension or revocation of e-Filing privileges.